



**Arkansas Insurance Department**

# **General Data Submission Process from Carriers to Compliance-RHLD**

**Version 4.0**

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## Revision History

Version	Author	Description	Date
1.1	T Dasgupta	Initial release	6/10/2015
2.0	T Dasgupta	Added Appendix 2	1/26/2016
2.1	T Dasgupta	Added "Before you start" section and FileZilla version recommendation	4/20/2017
3.0	T Dasgupta	Movement from FTPS to SFTP and change in naming convention	1/8/2019
3.1	T Dasgupta	Userid and password clarified as generic following confusion by an issuer	11/9/2022
4.0	T Dasgupta	This document reworked to include the web upload version. Technical help phone number updated	3/2/2023

## Overview

This document is to communicate the general data submission process by carriers to the Compliance/Regulatory Health Link Division of the Arkansas Insurance Department (AID). There are multiple ways carriers may be required to submit data to Arkansas Insurance Department. This document outlines the default data file submission process *and* file naming to be used ***unless detailed otherwise in separate file specification documents or other communications.***

AID's secure FTP server would receive the data by following the processes outlined in this document. Simply put, a FTP server is a special computer that receives data files securely over the internet from external organizations. The external organization sending the data may (or may not) use software tools to send the data and these are called FTP clients. If you manually use a browser to upload files, you will not have to bother with a FTP client.

Carriers will not be able to see the contents of any files submitted by other carriers. Carriers would not be able to delete, update or replace any file once submitted.

This document does not describe any data formatting details required on the data submissions.

## Intended Audience

This document addresses different audiences based on their choice to send data.

- 1) Method 1: Browser-based data upload using Google Chrome, Microsoft Edge etc.
- 2) Method 2: Using data transmission tools such as FileZilla or setting up automated file transfer scripts.

While the Method 1 is easier to use and can be attempted by any non-technical staff, Method 2 may need technical staff familiar with FTP client tools or FTP automation.

If you still need technical help after reading this document, please contact AID's Information Help Desk at 501-371-2655 or email [insurance.information.systems@arkansas.gov](mailto:insurance.information.systems@arkansas.gov).

## Before you start

It is common for organizations to implement restrictive out-bound data transfer policies and/or network configurations due to security, privacy or confidentiality concerns. Restrictive network configurations include (but not limited to) firewall port restrictions and/or use of only one type of protocol (for example, use of only ***ftps*** encryption protocol as opposed to the ***sftp*** as expected in this document). Also, your organization may have a policy of authorizing only one group to send data files outside your organization. Please find out if such policies have been implemented in your organization (usually an organization's network security personnel can answer this question for you). If restrictions exist, you may need to share this document and the files to be transferred to the group authorized to transfer files on your behalf, or seek alternative processes authorized in your organization.

## File Naming Convention

1. Name the file appropriately using the following File Naming Convention **unless specified otherwise in some other AID document (This naming convention only applies if naming convention was not specified elsewhere by AID)**
  - a. GRNL\_<NAIC Company Code>\_<Date of submission in YYYYMMDD format>\_any short descriptive name by carrier>
  - b. For example a HEDIS data submission for Plan Year 2014 by Arkansas BlueCross BlueShield on July 15, 2015 in csv format may be "GRNL\_83470\_20150715\_2014 HEDIS Data.csv"

## Email following a manual file transmission.

This is applicable for someone uploading a file using a browser or manually transmitting data using an FTP client tool. Sending an email is not expected when using automated file transfer scripts.

If you have uploaded or manually transmitted a file, please send an email to [RHLD.DataOversight@Arkansas.gov](mailto:RHLD.DataOversight@Arkansas.gov) with the subject line being "DATA SUBMITTED ON SECURE FTP SERVER" with a very brief description (or names) of the files sent. This step would help AID determine if there was a failure in FTP transmission in case the carrier did not catch the error messages.

## Details needed for uploading a file using a web browser:

- a. Address to enter in the browser: `rhldsftp.insurance.arkansas.gov`
- b. `Userid:healthplancarrier`
- c. `Password:healthplancarrier`

(Please note that "healthplancarrier" is literally the userid *and* the password as shown in b. and c. above. The issuer will not need to get a unique userid and password from AID; all issuers will use the same string "healthplancarrier" for both as the userid and the password. A public password may seem strange to some, but it actually a common practice in many data submission sites.)

Please see "Appendix II (File upload using a Browser)" for expected interaction when using a web browser.

## Details needed for setting up FTP client tools or data submission automation.

Use the following details as required by your FTP client tool or setting up automation:

- a. Host Address: `rhldsftp.insurance.arkansas.gov`
- b. Port: 22 (not all FTP client tools require you to enter this)
- c. Protocol: SFTP
- d. `Userid:healthplancarrier`
- e. `Password:healthplancarrier`

Please see "Appendix 1: Using a FTP Client Tool" for expected interaction with a commonly used FTP client tool.

## What to do in case of failures

If you encounter unexpected errors while using a FTP client tool or automation to transmit files, approach your organization's technical support (with the error message if available). Your technical support may be able to determine whether the problem is at your company's end or at AID's end from the error messages/error logs. Occasionally AID may have to upgrade its FTP Server software or need to annually renew security certificates to maintain server security. These changes to AID's FTP server may sometimes cause failures for some issuers depending on the company's FTP client software, FTP automation scripts and/or configuration/settings chosen.

If the problem is suspected to be at AID's end, please contact AID's Information Help Desk at 501-371-2655 or email [insurance.information.systems@arkansas.gov](mailto:insurance.information.systems@arkansas.gov).

## Appendix 1: (Using a FTP Client Tool)

FileZilla is the tool AID has used as an example in this document. The steps and observed behavior in a successful data transmittal is provided below.

Figure 1: Enter host address, userid and password after invoking FileZilla

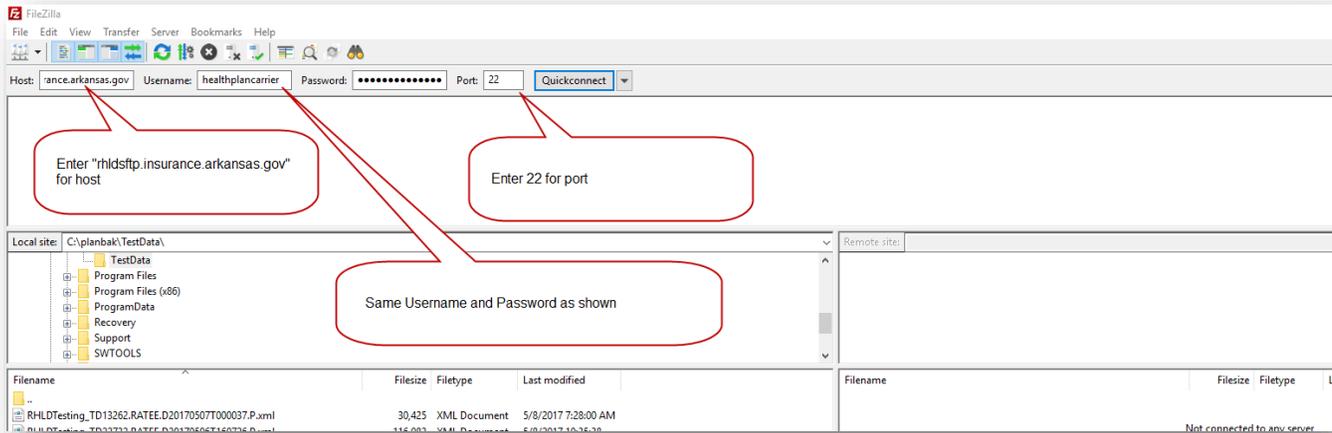


Figure 2: Expected behavior after clicking "Quickconnect" if connecting for the first time

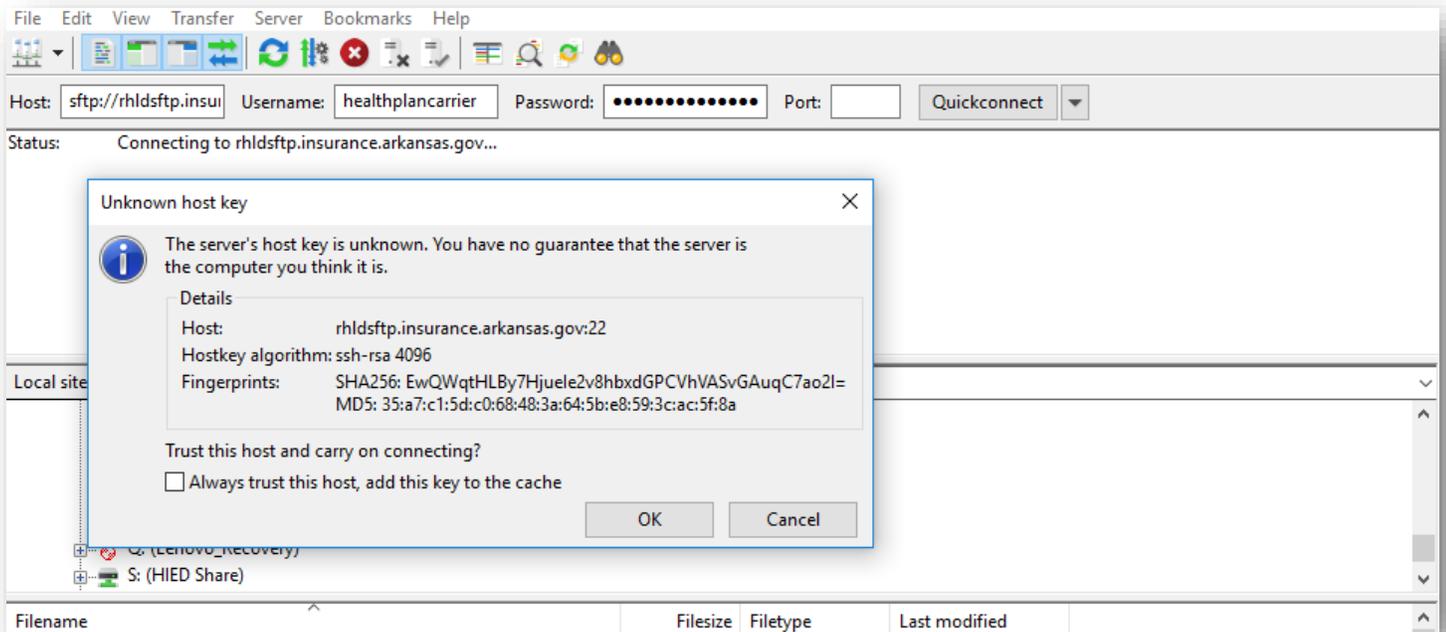


Figure 3: Expected behavior after clicking "Quickconnect" if key has been cached in earlier connections –OR– clicking "OK" on the earlier screen.

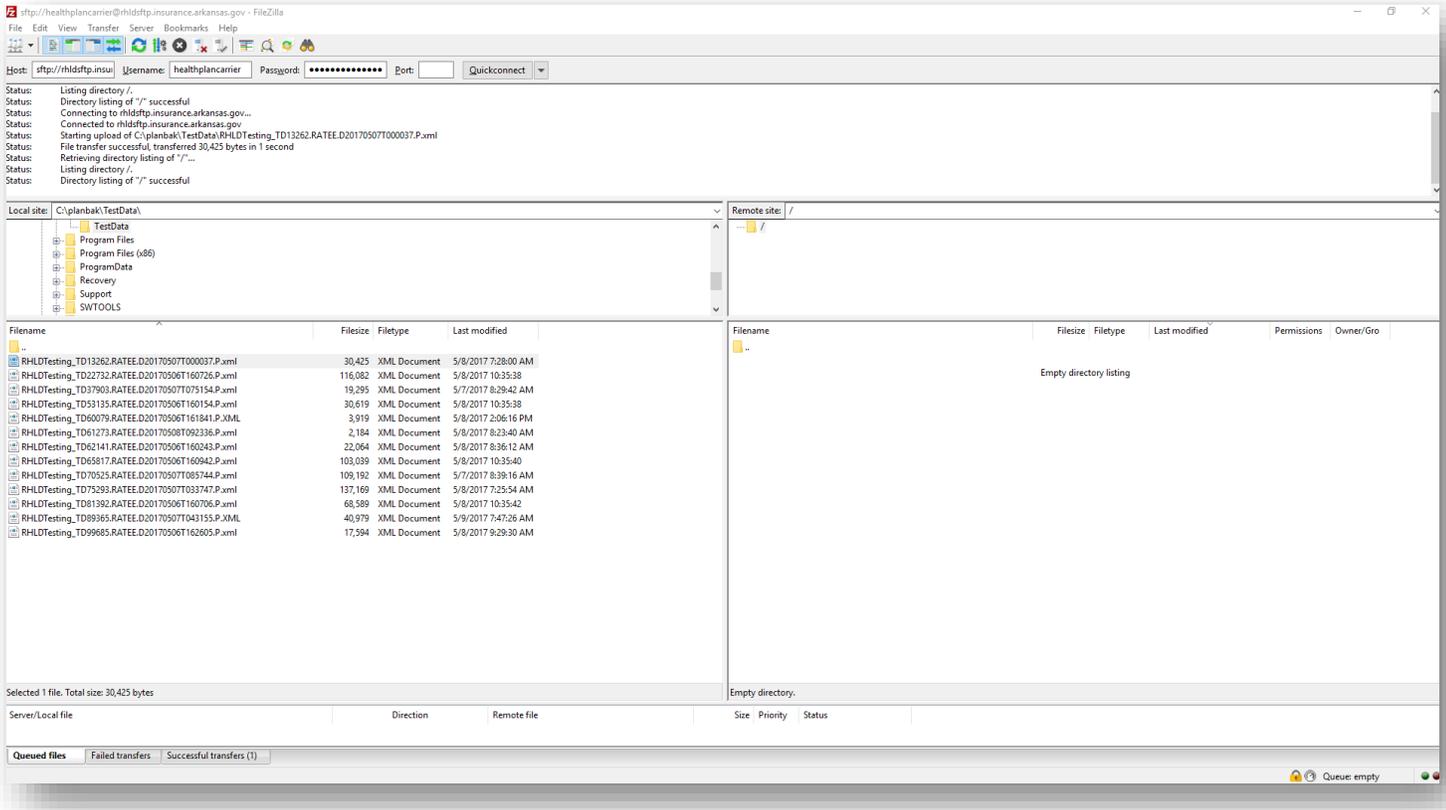


Figure 4: Action needed to transmit a data file

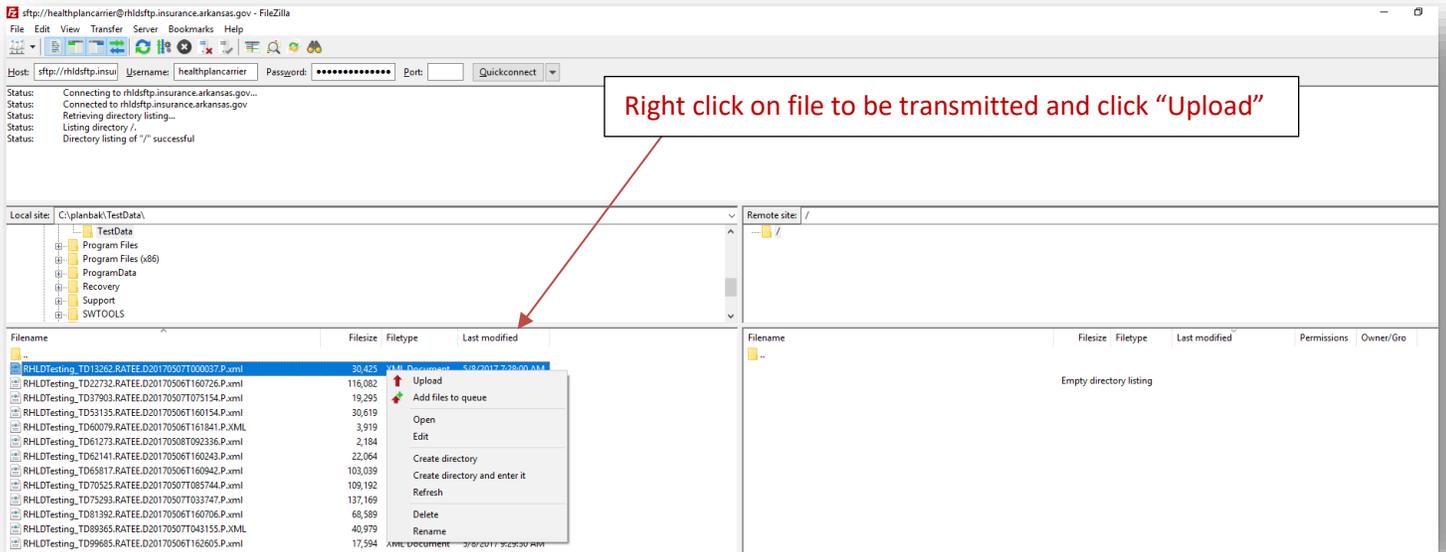
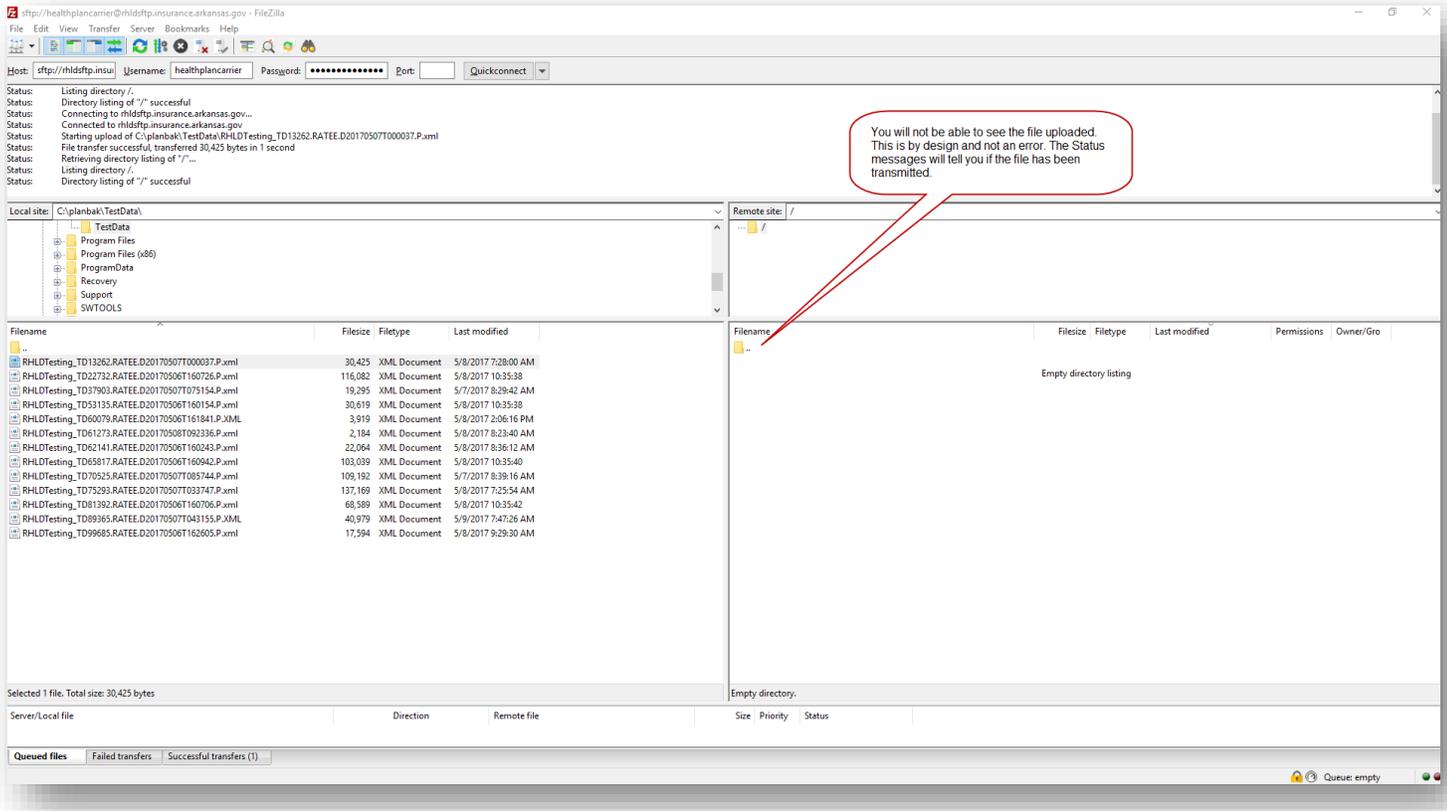


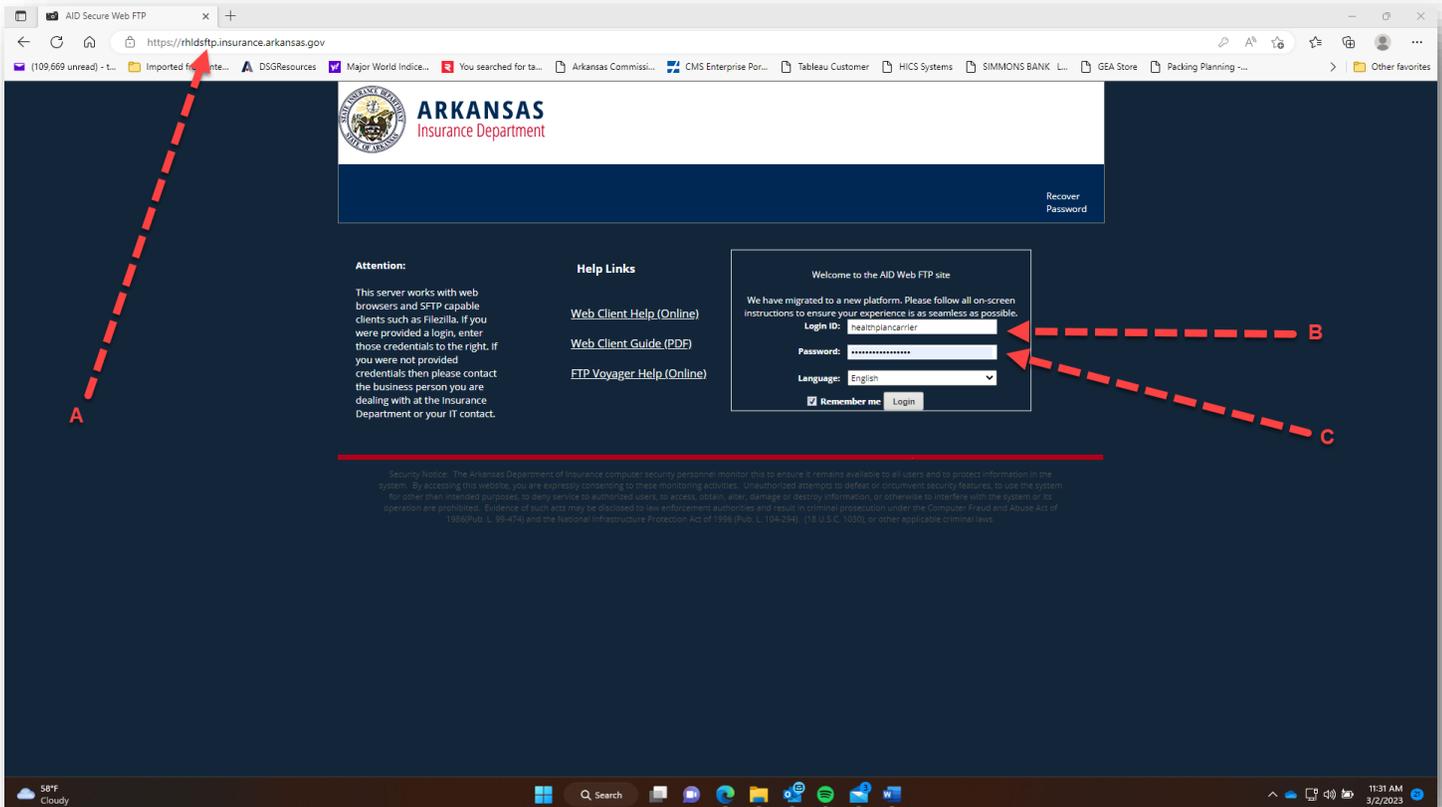
Figure 5: Expected behavior after the file has been uploaded



## Appendix II (File upload using a Browser)

This document shows tests done using A) Microsoft Edge (Version 110.0.1587.57 (Official build) (64-bit)) and B) Google Chrome (Version 110.0.5481.178 (Official Build) (64-bit)) on OS Microsoft Windows 11 Pro (Version 10.0.22621 Build 22621.).

Both browsers behaved identically and is intuitive to use.



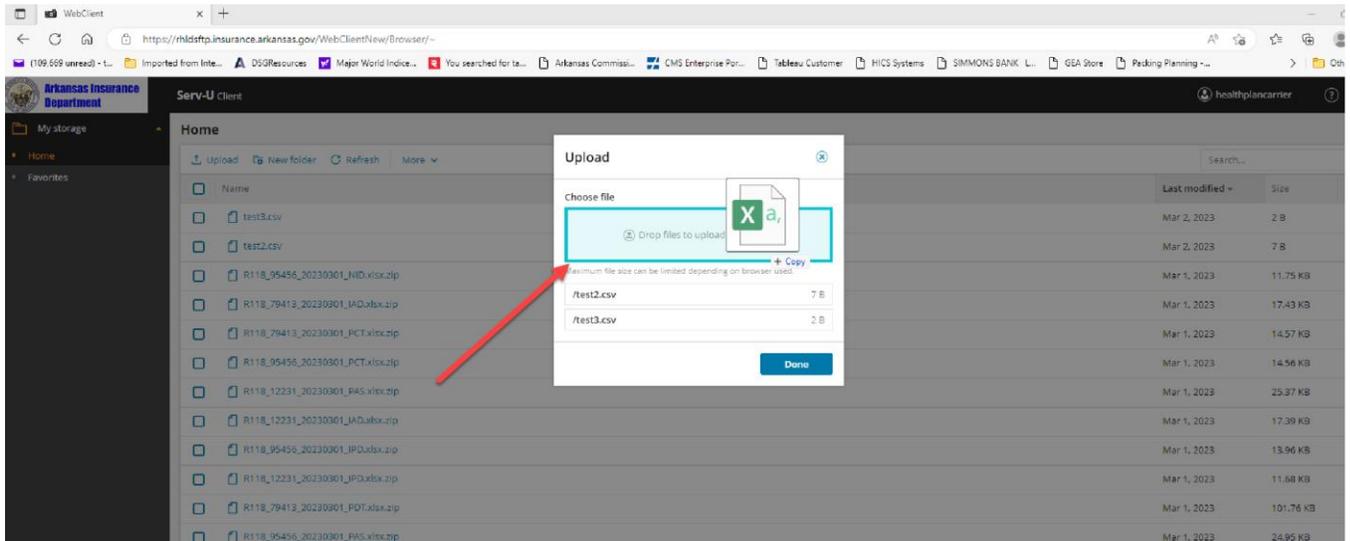
- A) Type “rhldsfpt.insurance.arkansas.gov” and hit enter. You will be directed to the AID Webftp site with userid and password prompts.
- B) Enter “healthplancarrier” as LoginID
- C) Enter “healthplancarrier” as the password as well. You will see a display similar to the next snapshot

The screenshot displays a web client interface for the Arkansas Insurance Department. The main content area shows a file list under the 'Home' directory. A red dashed arrow points to the 'Upload' button in the top navigation bar. The file list includes various .xlsx and .zip files with columns for Name, Last modified, and Size.

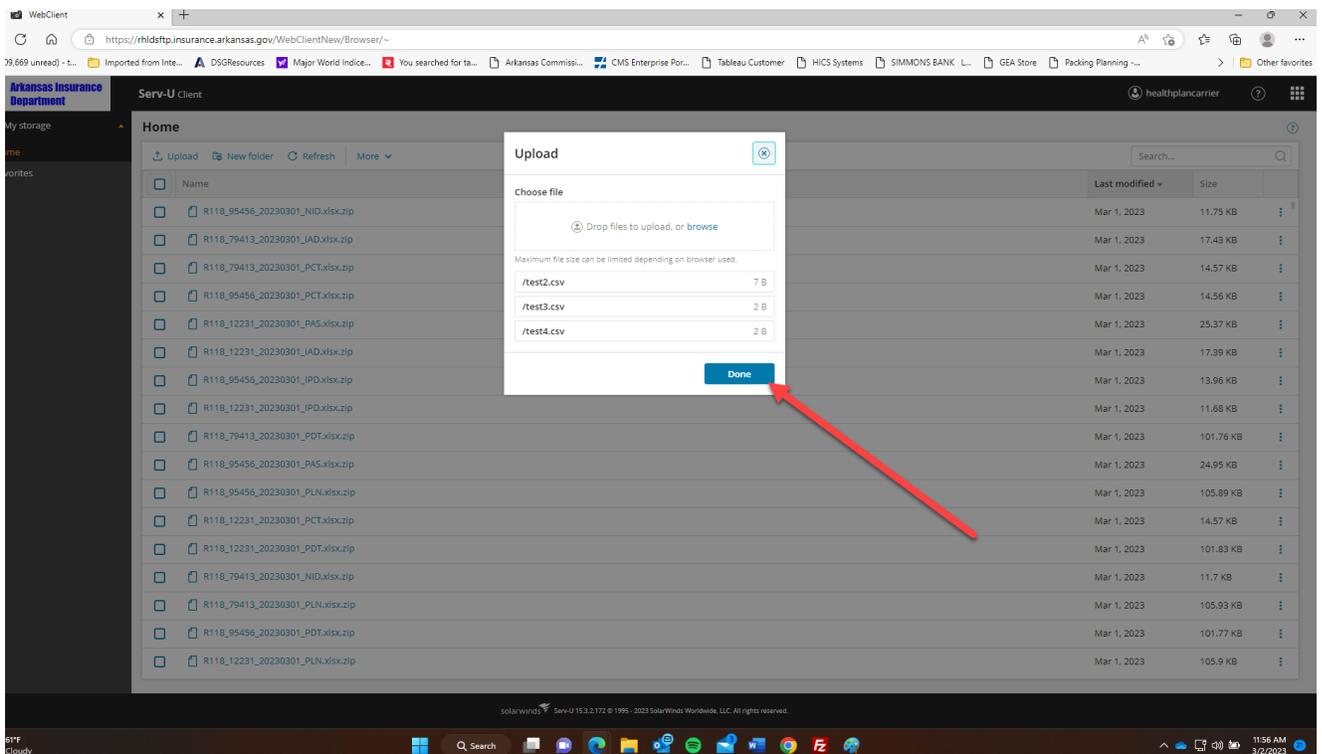
Name	Last modified	Size
test.csv	Mar 2, 2023	2 B
R118_95456_20230301_NID.xlsx.zip	Mar 1, 2023	11.75 KB
R118_79413_20230301_IAD.xlsx.zip	Mar 1, 2023	17.43 KB
R118_79413_20230301_PCT.xlsx.zip	Mar 1, 2023	14.57 KB
R118_95456_20230301_PCT.xlsx.zip	Mar 1, 2023	14.56 KB
R118_12231_20230301_PAS.xlsx.zip	Mar 1, 2023	25.37 KB
R118_12231_20230301_IAD.xlsx.zip	Mar 1, 2023	17.39 KB
R118_95456_20230301_IPD.xlsx.zip	Mar 1, 2023	13.96 KB
R118_12231_20230301_IPD.xlsx.zip	Mar 1, 2023	11.68 KB
R118_79413_20230301_PDT.xlsx.zip	Mar 1, 2023	101.76 KB
R118_95456_20230301_PAS.xlsx.zip	Mar 1, 2023	24.95 KB
R118_95456_20230301_PLN.xlsx.zip	Mar 1, 2023	105.89 KB
R118_12231_20230301_PCT.xlsx.zip	Mar 1, 2023	14.57 KB
R118_12231_20230301_PDT.xlsx.zip	Mar 1, 2023	101.83 KB
R118_79413_20230301_NID.xlsx.zip	Mar 1, 2023	11.7 KB
R118_79413_20230301_PLN.xlsx.zip	Mar 1, 2023	105.93 KB
R118_95456_20230301_PDT.xlsx.zip	Mar 1, 2023	101.77 KB

Click on “Upload”

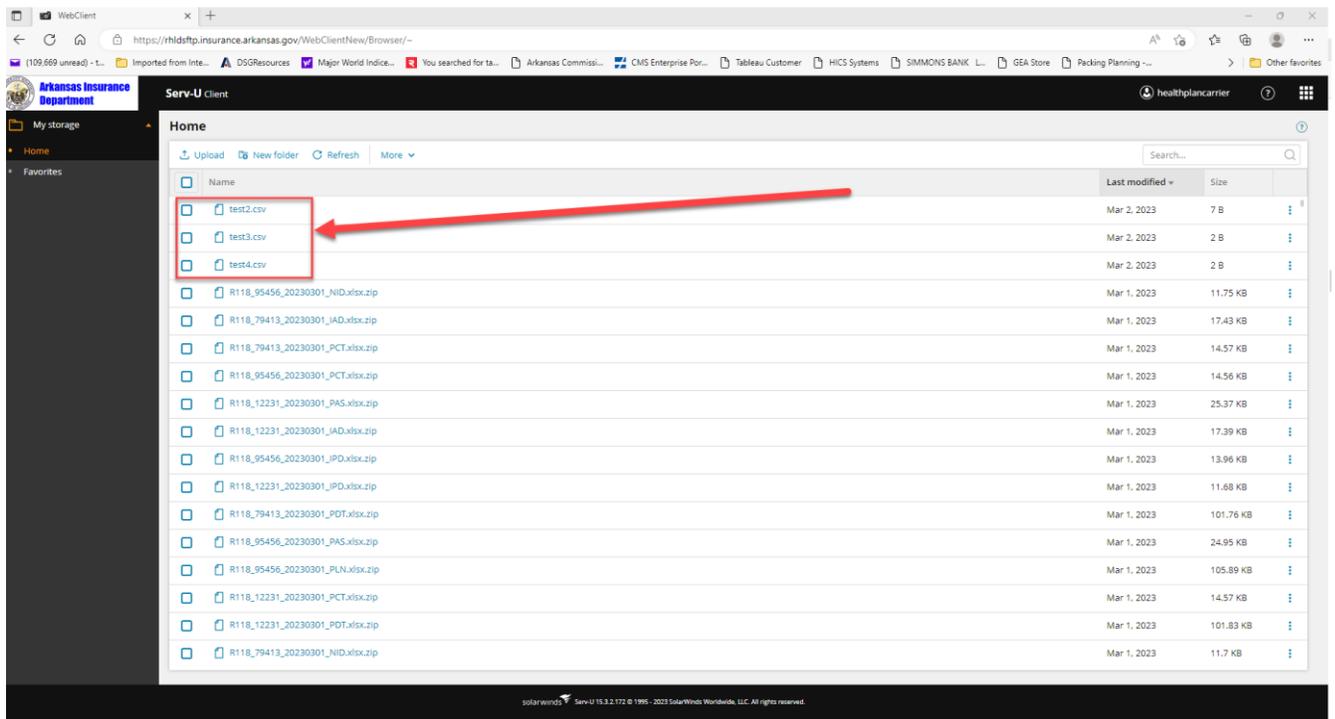
(You may see files submitted by other carriers but will NOT be able to open them or change/delete them.)



Drag your files to the “Choose file” box till it turns blue as shown in the snapshot above and drop them there. You can drag and drop multiple files together or one by one.



Once you have dropped all the files you need, click the “Done” button.



You should be able to see all files you have uploaded. If you do not see your files, you may need to click on the “Last modified” to sort the files based on upload date/time to see them.

You will not be able to delete, overwrite, open or change your files once uploaded. If you do need to upload a correction you can do so with a different name but please communicate the situation to [RHL.D.DataOversight@Arkansas.gov](mailto:RHL.D.DataOversight@Arkansas.gov)